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Changes in surface temperatures reveal the thermal challenge associated with catastrophic moult in captive Gentoo penguins

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35 Abstract

Once a year, penguins undergo a catastrophic moult replacing their entire plumage during a fasting period on land or on sea-ice during which time individuals can lose 45% of their body mass. In penguins, new feather synthesis precedes the loss of old feathers leading to an accumulation of two feathers layers (double coat) before the old plumage is shed. We hypothesize that the combination of the high metabolism required for new feathers synthesis and the potentially high thermal insulation linked to the double coat could lead to a thermal challenge requiring additional peripheral circulation to thermal windows to dissipate extra-heat. To test this hypothesis, we measured the surface temperature of different body regions of captive Gentoo penguins (Pygoscelis papua) throughout the moult under constant environmental conditions.

The surface temperature of the main body trunk decreased during the initial stages of the moult, therefore suggesting a higher thermal insulation. On the opposite, the periorbital region, a potential proxy of core temperature in birds, increased during these same early moulting stages. The surface temperature of bill, flipper and foot (thermal windows) tended to initially increase during the moult period, highlighting the likely need for extra heat dissipation in moulting penguins. These results raise questions regarding the thermoregulatory capacities of wild penguins during the challenging period of moulting on land in the current context of global warming.

Keywords: Thermal challenge - Moult – Thermoregulation – Penguin – Global warming

69 Introduction

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71 In birds, feathers have many functions including flight, thermal insulation, 72 communication (with plumage coloration; e.g. Bortolotti 2006) as well as tactile sensation 73 (Cunnighams et al. 2011). Plumage provides thermal insulation for endothermic birds helping 74 them to maintain a high core body temperature (Prinzinger et al. 1991). Indeed, the feather 75 layers trap air above the skin (Dawson et al. 1999) and plumage color and microstructure of plumage elements (Wolf and Walsberg 2000) reduce conductive, convective and radiative heat 76 77 loss between bird and the outside environment (e.g. Calder and King 1974; Bakken 1976; Wolf and Walsberg 2000). This is especially true in aquatic birds such as penguins that show a high 78 79 density of downy and contour-feathers increasing the water resistance (Pap et al. 2017; Osváth 80 et al. 2018). Penguins have a thick and morphologically specialized plumage (Rutschke 1965; 81 Williams et al. 2015) providing 80-90% of insulation requirements (Le Maho et al. 1976; Le 82 Maho 1977) that enable them to exist in the harshest climates of Antarctica. It is therefore 83 important that penguins are able to maintain high quality plumage (Jenni and Winkler 2020), 84 through the moult: a replacement of the old and damaged feathers by new ones (Humphrey 85 and Parkes 1959).

86 The moult of penguins is described as "catastrophic" (Davis and Darby 2012) and occurs 87 once a year during a fasting period on land or on sea-ice where the heat conductance of air is 25 times lower than that of water (de Vries and van Eerden 1995). During this time, individuals 88 89 replace their entire plumage in two overlapping stages with the synthesis of new feathers 90 preceding the loss of old feathers (Groscolas and Cherel 1992; Fig. 1A). New feathers begin to 91 grow under the skin until they reach 40% of their size, when they emerge through the skin. 92 Between 40% and 60% of the new feather growth, the old feathers remain attached to the 93 new feathers and at this stage birds simultaneously have two feather layers (Fig. 1A). The old 94 feathers then fall off, reducing thermal insulation until the new feathers finish growing (Groscolas and Cherel 1992; Fig. 1A). Moult is an energetically costly period for penguins 95 96 (Croxall 1982; Adams and Brown 1990), despite their low level of activity while fasting on land 97 (Cherel et al. 1994). Indeed, the metabolic rate increases by a factor of 1.3 and 1.5 in king 98 penguins (Aptenodytes patagonicus; Cherel et al. 1994) and in little penguins (Eudyptula 99 minor; Baudinette et al. 1986) respectively. During this fasting period, macaroni (Eudyptes 100 chrysolophus) and rockhopper penguins (E. chrysocome) lose 44% and 45% of their body mass respectively during a 25-day moult period (Brown 1986). Similarly king and emperor penguins
(*Aptenodytes forsteri*) lose approximately 45% of their body mass in 30 days with a peak of
daily body mass loss during the final stage of feather loss (Groscolas 1978; Cherel et al. 1988).

104 While Groscolas and Cherel (1992) suggested a decrease in thermal insulation during 105 the loss of old feathers, the preceding overlay of the new and the old feathers could increase 106 the overall thermal insulation of plumage. Metabolic heat production increases during the 107 moult due to feather synthesis and increased peripheral blood flow to grow the feather. During 108 the earlier stages of the moult, when penguins may have a greater thermal insulation due to 109 the double layer of feathers, penguins may face a thermal challenge (Fig. 1A) by being unable 110 to efficiently dissipate metabolic heat, potentially leading to a rise in body temperature. To 111 investigate this hypothesis, we measured surface temperatures of captive Gentoo penguins 112 (Pygoscelis papua) using thermal imaging during the entire moulting period. The captive 113 conditions allowed us to measure individuals throughout the full moult period at a uniform air 114 temperature without interferences of solar radiation, wind or precipitations. We measured 115 surface temperature of old and new plumage to represent well-insulated body regions, 116 periorbital region as a proxy of core temperature (e.g. Gauchet et al. 2022), while surface 117 temperature of bill, flipper and the foot correspond to thermal windows (i.e. poorly insulated 118 body areas governed by a vascular system that controls their surface temperature; Tattersall 119 et al. 2009; McCafferty et al. 2013; Lewden et al. 2020). Specifically, we predicted that when 120 penguins possessed two simultaneous feather layers (moulting stages M2 to M5; Fig. 1) there 121 would be a decrease of plumage surface temperature, an increase in surface temperatures of 122 thermal windows and a potential rise in the temperature of the periorbital region.

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124 Material and Methods

126 Study site

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Twenty-seven Gentoo penguins were studied in captivity at Océanopolis© aquarium, Brest, France. Individuals were identified by a colored plastic ring on the right flipper, and divided into two groups, the first of 18 individuals (7 males and 11 females) and the second of 13 individuals (6 males and 7 females). Individuals were maintained within their thermoneutral zone, that is between 8 and 15°C in Gentoo penguins (Taylor 1985; Wilson et al. 1998), in two separate enclosures with similar conditions, *i.e.* a permanent access to free water, unfed 134 during moulting period and with the same number of enclosure cleaning and animal keeper 135 visits. During measurement sessions, air temperature (T_a) and relative humidity (RH) were measured using a weather station Kestrel® 5400 Heat Stress Tracker. The wet-bulb 136 137 temperature (T_w) was then calculated according to the equation (1) in Stull 2011, to take into 138 account the cooling effect of higher humidity. Enclosures showed a relatively stable T_w during the study period (from July, 30th to October, 20th) with a range of temperature between 7.20 139 140 and 12.56°C in the first group (Group 1) and between 9.19°C and 14.20°C in the second group 141 (Group 2). However, we measured a small but significant difference between 142 groups/enclosures with a higher T_w in Group 2 (mean ± standard error of 10.82 ± 0.39°C) 143 compared to Group 1 (mean ± standard error of 9.38 ± 0.28°C) (P<0.005). Similarly, the ground 144 surface temperature (T_{ground}) in contact with penguin's feet was higher in Group 2 (mean ± standard error of 14.65 ± 0.13°C) compared to Group 1 (mean ± standard error of 12.93 ± 145 146 0.09° C)(P<0.0001). Moult lasted 14.0 ± 0.66 days per individual in Group 1 and 12.8 ± 0.97 147 days per individual in Group 2, without significant difference between group (P=0.85).

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149 Moult

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151 Penguin surface temperatures were measured once a day in the morning, at least twice to a 152 maximum of 25 times per individuals with a mean of 11.75 measurements per individual. To 153 track the progress of the moult, 7 moult stages were characterized (Fig. 1B) ranging from a 154 uniform old-plumage (Fig. 1B; M1) to a uniform new-plumage (Fig. 1B; M7) and assigned by 155 the same observer (A.L) during data collection. The intermediate stages were "pop-corn" 156 during which individuals carried two feather layers giving them a puffy appearance (Fig. 1B; 157 M2). The "first fall" stage corresponds to the advanced pop-corn stage with the first fall of old 158 feathers visible (Fig. 1B; M3). The "25%" stage corresponds to the acceleration of old feather 159 fall, with at least 25% of the trunk having lost its old plumage and thus presenting a new, 160 immature plumage (Fig. 1B; M4). The "50%" stage corresponds to the peak of the moult, with 161 50% of the trunk showing two layers of plumage and 50% showing new immature plumage 162 (Fig. 1B; M5). At the "75%" stage (Fig. 1B; M6), individuals had lost most of their old plumage 163 and the new plumage, while not yet fully grown, visibly increased in volume.

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165 Thermal image collection and analysis

167 One or two thermal pictures of left or/and right profiles were taken per day of measurement from the same angle (Playà-Montmany and Tattersall 2021) at a distance of *ca.* 1 meter with 168 each body area being larger than ten times the spot size (Tabh et al. 2021) of 0.65 mm from 169 170 our FLIR E96 thermal camera (640x480 pixel). For each bird, profile pictures were defined as right (ringed side) or left (non-ringed) side. We hypothesized that the ringed flipper might 171 172 show a higher surface temperature induced by a light inflammation linked to ring friction. 173 Emissivity was set to 0.98 (Whittow 1986; Monteih and Unsworth 1990) wheareas T_a and RH 174 were set for each picture using Flir ThermaCAM Researcher Professional 2.10 software. Bill, flipper and foot areas were delineated by tracing a polygon around the edge to extract the 175 176 mean surface temperature of each area (hereafter T_{bill}, T_{flipper}, T_{foot} respectively). Mean surface 177 temperature of the ground (T_{ground}) was extracted using a standard square size (877 pixel²) 178 situated just below the feet. Head was also delineated and the maximum surface temperature 179 of this area was extracted corresponding to the periorbital region (hereafter T_{eye} ; Jerem et al. 180 2018). As the loss of old plumage on the trunk was not symmetrical on both sides, we could 181 not determine a representative trunk surface temperature from the profile pictures. This is 182 why, we calculated an index of (hereafter T_{trunk}) using the old and the new plumage surface temperature (T_{old plumage} and T_{new plumage} respectively) according to the percentage of trunk 183 184 recovery as following:

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- 186 187

 $T_{Trunk} = Percent of feather lost * T_{new plumage}$ (1) +(1 - Percent of feather lost) * T_{old plumage}

188 $T_{old plumage}$ and $T_{new plumage}$ corresponded to a mean surface temperature of a standard square189size (438 pixel²) positioned on a uniform patch of each kind of plumage. When individuals were190in old plumage (M1) in pop-corn (M2) and in first fall (M3) stages, T_{trunk} corresponded to T_{old} 191plumage. When individuals were in new plumage stage (M7) T_{trunk} corresponded to $T_{new plumage}$.192For others moulting stages (M4; M5 and M6), T_{trunk} was calculated using the equation (1)193determined from the cover of the entire trunk circumference to weight the proportion of each194kind of plumage.

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196 Statistical analysis

The effect of plumage color (black or white) on old and new plumage surface temperatureswas initially investigated using an ANOVA, but dropped out of final models since as expected

in the absence of solar radiation, we did not find any significant difference in surface temperature between black and white plumage in both old and new plumage (P>0.80 in both cases). Similarly, we did not measure any significant effect of the ring on T_{flipper} and therefore excluded this variable from our final statistical models (P=0.99).

The relationship between four temperature areas (*i.e.* bill, periorbital, flipper and trunk) and the moult stages were studied using general linear mixed models (GLMM), including penguin ID as a random intercept, to control for repeated measures and T_w , Group (1 or 2) and Sex (male or female) as fixed effects. For the T_{foot} , T_{ground} replaced T_w in the model considering the large surface of foot in contact with the ground (*i.e.* conductive heat loss). Indeed, the linear relationship between T_w and T_{foot} (R²= 0.02; P=0.004) was markedly weaker than the relationship between T_{ground} and T_{foot} (R²=0.38; P<0.0001).

Differences were then investigated using a Tukey's honestly significant difference (HSD) *posthoc test* for moult stages effect. Statistical analyses were performed using JMP[®] v. 13 (SAS Institute Inc., Cary, North Carolina, USA) and results were reported as mean ± standard error unless specified.

215

216 **Results**

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Body surface temperatures were positively related to T_w or T_{ground} (Table 1). The variable 'group' was only significant for T_{trunk} (*P*<0.0001) with lower T_{trunk} measured in the group exposed to the slightly colder environment (*i.e.* Group 1). Females had a slightly higher T_{eye} than males (31.02 ± 0.11 and 30.71 ± 0.10°C respectively; *P*=0.023). Group and sex did not explain any significant variation in T_{bill} , $T_{flipper}$ and T_{foot} (Table 1). However, variation in all body surface temperatures were significantly influenced by the stage of moult (Table 1).

*T*_{eye} significantly increased from the old plumage to the pop-corn stage, and stayed elevated until the 50% moult stage (Fig. 2A). *T*_{eye} then decreased back at 75% of the moult (at a level similar to the old plumage), and ended up being the lowest at the new plumage stage (Fig. 2A). *T*_{trunk} showed an initial drop from the old plumage stage to the First fall stage (Fig. 3), and then increased back to its initial level as the moult progressed further towards the new plumage stage (Fig. 2A). *T*_{trunk} at the new plumage stage (15.93 ± 0.14°C) did not significantly differ from the old plumage stage (16.48 ± 0.21°C; *P*=0.15) (Fig. 2A and 3). 231 T_{flipper} had the highest temperature at stage 25, 50 and 75% of the moult (Fig. 2B). T_{flipper} at 232 those stages were higher than at first fall and new plumage stages (all *P*<0.04; Fig. 3), but did 233 not significantly differ from the old plumage and pop-corn stages (all *P*>0.30). T_{flipper} was 1.77°C 234 colder at new plumage stage compared to old plumage stage (P=0.0002; Fig. 3).

T_{bill} significantly increased from the old plumage to first fall stage, and decreased thereafter (Fig. 2C) with a maximum difference of -5.20°C between the first fall and the new plumage stages (*P*<0.0001; Fig. 3). *T*_{bill} was also lower at the new plumage stage (17.13 \pm 0.31°C) than at the old plumage stage (19.92 \pm 0.52°C; P<0.0001).

T_{foot} initially increased from the old plumage until the First fall stage (Fig. 3), and remained slightly elevated until the end of the monitoring (i.e. new plumage; Fig. 2D). Yet, there was no significant difference in T_{foot} between new plumage (19.29 ± 0.53 °C) compared to old plumage stages (17.99 ± 0.74 °C; P=0.62).

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244 Discussion

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246 Our study investigated the effect of moulting in captive Gentoo penguins, a fasting 247 period during which metabolic rate increases (Baudinette et al. 1986; Cherel et al. 1994) while 248 body insulation is heavily modified in penguin species (Groscolas and Cherel 1992). Our results 249 showed that at early stages of the moult, when individuals have two feather layers (Stages M2, 250 M3 and M4; Fig. 1 and 2), plumage insulation was elevated as shown by the lowest T_{trunk} (Fig. 251 2 and 3), while the surface temperatures of thermal windows (bill, flipper and foot) and the 252 periorbital region were generally elevated at these stages (Fig. 2). This effect was maintained 253 until approximately 50% percent of the moult, after which surface temperatures of non-254 insulated body regions started to decrease (Fig. 2 and 3), such that the mean surface 255 temperatures of new plumage stage were significantly lower (except for T_{foot}) than at old 256 plumage stage (Fig. 2).

257

Early moulting stages in penguins may therefore provide a thermal challenge for birds to dissipate extra-heat. Moult is energetically costly (Baudinette et al. 1986; Cherel et al. 1994) through maintaining a peripheral blood flow for dermal perfusion sustaining feather synthesis. Simultaneously with this higher heat production, we found that the potential for heat dissipation is likely to be reduced by the additional insulation resulting from the combination 263 of newly growing and old feathers, as shown by the tendency of T_{trunk} to decrease at pop-corn 264 (M2), first fall (M3) and 25% of old feathers fallen (M4) stages (Fig. 2). Correspondingly, 265 uninsulated or less insulated body areas from the bill, flipper and foot exhibited the opposite 266 pattern (Fig. 2 and 3) with an increase of surface temperature allowing greater heat loss 267 through radiation and convection to the surroundings. Within our captive experimental 268 conditions, birds were measured within their thermoneutral zone (between 8° and 15°C; 269 Taylor 1985), which theoretically enable to exclude any changes in metabolic rate associated 270 with thermoregulation. Thus, our study highlights that blood flow to thermal windows may 271 help to compensate for greater insulation and heat production associated with feather 272 synthesis, in order to help maintaining a stable core body temperature during early moulting 273 stages. Since T_{eve} is relatively well correlated to core temperature in chicken (Cândido et al. 274 2020), budgerigars (Melopsittacus undulates; Ikkatai and Watanabe 2015) and wild red-fotted 275 boodies (Sula sula; Gauchet et al. 2022), our results suggest that core body temperature 276 increased during the early stage of moult (+1.61°C of T_{eye} between old plumage and 25% 277 stage). This idea is supported by an increase of ca. 0.8°C in core temperature during moult in 278 Yellow-eyed penguin (Megadyptes antipodes; Farner 1958). Yet, blood flow to the eyes, 279 impacting T_{eye} , has been also shown to play a role in reducing brain temperature in pigeons 280 (Columba livia; Pinshow et al. 1982), suggested as heat sink in ostriches (Struthio camelus; 281 Fuller et al. 2003) or to maintain/enhance visual acuity during stress (Winder et al. 2020). 282 Unfortunately, without core body temperature measurements, it is not possible here to 283 formally assess if the increased heat dissipation through thermal windows we observed was 284 sufficient to maintain core body temperature at stable levels, or if the observed increase in T_{eye} 285 could reflect the inability to maintain core body temperature at stable levels.

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287 Interestingly, the thermal challenge to dissipate heat described here at 288 thermoneutrality seems likely to be specific to penguins, due to the accumulation of this 289 double insulation. Indeed, most studies in birds measured the opposite pattern with an 290 increase of 30 to 60% in thermal conductance during moult (Lustick 1970; Dietz et al. 1992), 291 inducing for instance a rise of the lower critical temperature in Long-eared Owl (Asio otus; 292 Wijnandts 1984). In seals, moult represents the renewal not only of the hair but also of the 293 skin (Ling 1968; 1972). With no accumulation of old and new skin, individuals show an increase 294 of thermoregulation cost due to higher heat loss (Paterson et al. 2012). In Antarctica Weddell 295 seals (Leptonychotes weddellii), Walcott et al. (2020) measured that the energetic costs of 296 thermoregulation doubled during moulting period, supported by an increase of 25% of heat 297 loss in early moulting stages. Importantly, no thermal windows were detected in this study 298 suggesting that individuals were unlikely to overheat (Walcott et al. 2020). Similar results were 299 obtained in southern elephant seals (Mirounga leonina) with an increase of 1.8 x resting 300 metabolic rate during moult with body surface temperature decreasing throughout the moult 301 (Paterson et al. 2022), the latter suggesting an energy-saving strategy that seems opposite to 302 the results obtained in this study in Gentoo penguins maintained within their thermoneutral 303 zone. Moreover, elephant seals also showed aggregation behavior only during moult on land 304 suggesting a strategy to reduce heat loss and minimize energy costs (Chaise et al. 2019). In 305 contrast, penguins have not been shown to exhibit specific aggregation behavior during 306 moulting to the best of our knowledge.

307 Surface temperatures of new plumage stage did not reach the initial temperature 308 measured in old plumage and they were either lower (T_{bill} , T_{eve} and T_{flipper}) or similar (T_{foot} ; 309 T_{trunk}) at the end of the moult. Moult could have started before a visible change in plumage 310 (i.e. pop-corn stage). In this case, the old plumage stage (M1) could already correspond to an early stage of moult (i.e. growth of new feathers below the skin, Fig. 1), with a higher 311 312 metabolism, rather than a pre-moult stage as initially considered in this study. Secondly, the 313 new plumage stage (M7) corresponds here to the end of the old feather loss and potentially 314 not to the end of the new feather growth. The immature new feathers could be less insulated 315 than the full-length feathers, allowing heat loss without a specific need to maintain blood flow 316 to thermal windows. Finally, since moulting progression is also associated with the progression 317 into a more advanced fasting stage, it is possible that individuals reaching the new plumage 318 stage could use peripheral vasoconstriction as an energy-saving strategy (Kooyman et al. 1976; 319 Ponganis et al. 2001, 2003; Tattersall et al. 2016) which could also explain the decrease we 320 observed in T_{bill} , T_{eye} and T_{flipper} .

Our study showed that under nearly constant environmental conditions, moulting Gentoo penguins increase the surface temperature of poorly insulated regions (thermal windows) (Fig. 2 and 3) to dissipate extra heat. In the wild, the thermal challenge of carrying two feather layers could be enhanced by the solar radiation and the increase of air temperature in the current context of global warming (Ainley et al. 2010; Gorodetskaya et al. 2022). Further studies are needed to better understand the operative temperature (Bakken

- 327 1976) experienced by wild birds, especially in polar marine species showing adaptations to
- 328 reduce heat loss while foraging in cold water.
- 329

330 Data availability statement

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 332 is not done for commercial purposes, and the original authors are credited and cited.
- 333 https://figshare.com/s/c64975557480cc8709f3
- 334

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505 Figures



507 Fig. 1: Identification of the seven main moulting stages (stages M1 to M7) characterized 508 during the Gentoo moult in captivity. The schematic representation of the penguin moult (A) 509 shows the new feathers (straight-line) grow beneath the outer skin layer until 40% of their 510 total length. Between 40 and 60% of new feather growth, penguins have a double feather 511 layer, old (dashed line) and new. These two feather layers could lead to a thermal challenge 512 for heat dissipation (red box). After 60% of new feather growth, the old feathers are starting 513 to fall-off. Adapted from Groscolas and Cherel (1992). During moult, visual plumages changes 514 can be noticed (B) and characterized into seven different stages: M1 = uniform old plumage, 515 M2 = 'pop-corn' (superposition of old and new immature feathers), M3 = first fall of old 516 plumage, M4 = 25% of old feathers fallen, M5 = 50% of old feathers fallen, M6 = 75% of old 517 feathers fallen and M7 = uniform new plumage corresponding at the end of the monitoring. 518 See the main text for more details ©A. Lewden

519





521 Fig. 2: Least-squared mean surface temperatures during the seven moulting stages. Values

522 for the periorbital region (red) and the trunk (black) (A), the flipper (B), the bill (C), and the

523 foot (D) are shown. Values that do not share the same letter are significantly different from

524 each other (post-hoc Tukey's HSD test; P<0.05).





Fig. 3: Visual comparison of four Gentoo penguins measured during moult by thermal
imaging. Individuals were measured through the moult including before moult in old plumage
(A), at moulting stage first fall (B) and 50% (C) and in new plumage (D). Images illustrate lower *T*_{trunk} at first fall (M3), lower *T*_{flipper} in new plumage (M7) compared to others stages and higher,
higher *T*_{bill} at first fall (M3) than in new plumage (M7) and higher *T*_{foot} during moult (M3 and
M5) than before and at the last stage of the moult (M1 and M7).

534 **Table:**

535 Table 1: Summary of the general linear mixed models used to investigate variation in body surface temperatures during moult in captive Gentoo

536 penguins

537

			T _{eye}		T _{trunk}			τ _{bill}			T _{flipper}			T _{foot}				
			R ² =0.55 N= 339			R ² =	R ² =0.68 N= 340			R ² = 0.36 N= 340			R ² =0.31 N= 340			R ² =0.60 N= 327		
	Random effect :		Variance			Variance	Variance			Variance			Variance			Variance		
	E	Bird ID	0.05			0.29			0.25			0.16			3.49			
	F	Residual	0.91			1.18			9.38			6.05			14.03			
	Fixed effect :		df	F	Р	df	F	Ρ	df	F	Ρ	df	F	Р	df	F	Р	
	Т	Ta or Tground	1,328	6.05	0.014	1,320	42.39	<.0001	1,330	20.81	<.0001	1,33	0 18.66	<.0001	1,316	172.19	<.0001	
	6	Group	1,64	0.75	0.38	1,103	104.33	<.0001	1,84	0.10	0.75	1,5	5 1.61	0.21	1,107	2.59	0.11	
	S	Sex	1,37	5.59	0.023	1,71	1.26	0.27	1,48	3.48	0.068	1,3	0 1.07	0.31	1,70	1.76	0.19	
538	N	Volt stages	6,323	49.67	<.0001	6,321	4.94	<.0001	6,324	16.47	<.0001	6,31	9 15.23	<.0001	6,309	5.29	<.0001	